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COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/753,755	01/03/2001	Peter Ian Moss	5538/1020

CONFIRMATION NO. 1885

27495  
PALMER & DODGE, LLP  
ONE BEACON STREET  
BOSTON, MA 02108-3190

Docketed Done  
Response Due Resp to NFMP  
Statutory Period 4-21-01 (8/21/01)  
Palmer & Dodge LLP (Final)  
Patent Department

FORMALITIES LETTER



\*OC000000005785462\*

Date Mailed: 02/21/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

RECEIVED

MAR 19 2001

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 355 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$211.
  - \$36 for 4 total claims over 20.
  - \$40 for 1 independent claims over 3.
  - \$135 for multiple dependent claim surcharge.
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 631.

05/09/2001 DTESSEM1 00000058 09753755

01 FC:201	355.00 OP
02 FC:205	65.00 OP
03 FC:203	26.00 OP
04 FC:202	40.00 OP
05 FC:204	135.00 OP

A copy of this notice **MUST** be returned with the reply.

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 1 - ATTORNEY/APPLICANT COPY



05-07-01 H-A Section

Atty. Docket No.: 5538/1020

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Moss, et al.  
Serial No.: 09/753,755  
Filed: January 3, 2001  
Entitled: "Automated Trading Systems"

Examiner:

Group Art Unit:

**CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.10**

I hereby certify that the paper (and any paper or fee referred to as being enclosed) is being deposited with the United States Postal Service using Express Mail to Addressee Service, under 37 C.F.R. Section 1.10, **Express Mail Label No. EL591998239US** on this date, **May 4, 2001**, postage prepaid, in an envelope addressed to Box: Commissioner for Patents, Washington, D.C. 20231.

Kathleen Williams

Name of Person Mailing Paper

Signature of Person Mailing Paper

Box: Missing Parts  
Commissioner for Patents  
Washington, D.C. 20231

**TRANSMITTAL LETTER**

Enclosed for filing in the above-identified patent application, please find the following documents:

1. Response to Notice to File Missing Parts mailed February 21, 2001;
2. Copy of Notice to File Missing Parts- Part 2;
3. Petition for One Month Extension of Time;
4. Executed Declaration and Power of Attorney;
5. Check in the amount of \$686.00 for the requisite fee; and
6. Return Post Card.

The Commissioner for Patents is hereby authorized to charge any additional fees or credit any overpayment in the total fees to Deposit Account No. 16-0085, Reference No. 5538/1020. A duplicate of this transmittal letter is enclosed for this purpose.

Respectfully submitted,

Date:

5/4/01

Name: Kathleen Williams  
Registration No.: 34,380  
Palmer & Dodge LLP  
One Beacon Street  
Boston, MA 02108  
Tel: 617-573-0100



Atty. Docket No.: 5538/1020

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Moss, et al.  
Serial No.: 09/753,755  
Filed: January 3, 2001  
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Kathleen Williams

Name of Person Mailing Paper

[Signature]  
Signature of Person Mailing Paper

Box: Missing Parts  
Commissioner for Patents  
Washington, D.C. 20231

**RESPONSE TO NOTICE TO FILE MISSING PARTS**

Dear Sir:

In response to Notice To File Missing Parts of Application mailed February 21, 2001 in the above-referenced patent application, please find enclosed an Executed Declaration and Power of Attorney Form, a Copy of Notice to File Missing Parts- Part 2, a Petition for One Month Extension of Time and a check in the amount of \$686.00 for the requisite fee.

Respectfully submitted,

Date: 6/4/01

[Signature]  
Name: Kathleen Williams  
Registration No.: 34,380  
Palmer & Dodge LLP  
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Boston, MA 02108  
Tel: 617-573-0100